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|--|-----------------|---------------------------|-----------|-------------------------|------|
| FORM CD-516 (6-93) LF DAO 202-430 | | US DEPARTMENT OF COMMERCE | | NEW | |
| CLASSIFICATION AND PERFORMANCE MANAGEMENT RECORD | | | | I/A: | |
| | | | | MR#: | |
| | | | | IP#: | |
| • Performance Plan • Performance Appraisal • Performance Recognition • Progress Review • Position Description | | | | | |
| Employee's Name: | | | | Social Security No.: | |
| Position Title: | | | | | |
| Pay Plan, Series, Grade/Step: | | | | | |
| Organization: | 1. | | 4. | | |
| | 2. | | 5. | | |
| | 3. | | 6. | | |
| Rating Period: | | | | | |
| Covered by | | Senior Executive Service | | Demonstration Project | |
| | | General Workforce | | Other: | |
| PART A - POSITION DESCRIPTION | | | | | |
| POSITION CERTIFICATION - I certify that this is an accurate statement of the major duties and responsibilities of the position and its organization relationships and that the position is necessary to carry out Government functions for which I am responsible. This certification is made with the knowledge that this information is to be used for statutory purpose relating to appointment and payment of public funds and that false or misleading statements may constitute violation of such statute or their implementing regulations. | | | | | |
| SUPERVISOR'S SIGNATURE | | DATE | | SECOND LEVEL SUPERVISOR | |
| | | | | DATE | |
| CLASSIFICATION CERTIFICATION | OFFICIAL TITLE: | | | | |
| | PP: | SERIES: | FUNC: | GRADE: | IA: |
| I certify that this position has been classified as required by Title 5, US Code, in conformance with standards published by the OPM or, if no published standard applies directly, consistently with the most applicable published standards. | | | | | |
| NAME AND TITLE OF CLASSIFIER | | | SIGNATURE | | DATE |
| | | | | | |
| PART B --- PERFORMANCE PLAN | | | | | |
| This plan is an accurate statement of the work that will be the basis of the employee's performance appraisal. | | | | | |
| NAME AND TITLE OF FIRST LINE SUPERVISOR/RATING OFFICIAL | | | SIGNATURE | | DATE |
| | | | | | |
| APPROVAL - I agree with the certification of the position description and approve the performance plan. | | | | | |
| NAME AND TITLE OF APPROVING OFFICIAL OR SES APPOINTING AUTHORITY | | | SIGNATURE | | DATE |
| | | | | | |
| EMPLOYEE ACKNOWLEDGMENT -- My signature acknowledges discussion of the position description and receipt of the plan, and does not necessarily signify agreement. | | | SIGNATURE | | DATE |
| | | | | | |
| PRIVACY ACT STATEMENT - Disclosure of your social security number on this form is voluntary. The number is linked with your name in the official personnel records system to ensure unique identification of your records. The social security number will be used solely to ensure accurate entry of your performance rating into the automated record system. | | | | | |

U.S. Department of Commerce Senior Executive Performance Agreement

Executives in the Department of Commerce are accountable for supporting the Department's mission to promote job creation, and improved living standards for all Americans by creating an infrastructure that promotes economic growth, technological competitiveness, and sustainable development. The Department's strategic goals are as follows:

- 1) Provide the information and the framework to enable the economy to operate efficiently and equitably.
- 2) Provide infrastructure for innovation to enhance American competitiveness.
- 3) Observe and manage the Earth's environment to promote sustainable growth.
- 4) Management Integration Goal: Strengthen management at all levels.

Appraisal Period: 10/1/02 to 9/30/03

SSN:

Name:

Position Title:

Series and ES-Level:

Organization:

NOTE: Accomplishment of the following responsibilities is not the sole applicable measurement - it is how well the Executive has achieved these assignments that drives the ratings for these performance elements.

Part I: Critical Performance Expectations

A. Responsibilities

All Department of Commerce executives share certain critical elements that deal with how they perform their job. Set forth below, these responsibilities reflect the core values of the Department - what is important to us as an organization - and they are shared by all Department of Commerce executives and managers. These elements guide the various actions that the incumbent commits to in Part I, B and should be given equal weight in the summary narrative and evaluation. The incumbent and immediate supervisor jointly review these responsibilities to ensure mutual understanding.

CRITICAL ELEMENT I: Leadership/Management (30%)

Demonstrates integrity, sound judgment, and the highest ethical standards of public service. Successfully leads organizational change. Addresses programmatic and organizational changes as necessary. Effectively develops and executes plans to accomplish strategic goals and organizational objectives, setting clear priorities and acquiring, organizing, and leveraging available resources (human, financial, budget, etc.) and succession planning to ensure timely delivery of high quality services and products in compliance with applicable laws, regulations and policies. Ensures that the highest level of organizational goals and results cascade downward in the organization so that at the individual level, all activities are in alignment with the highest level of successfully defined organizational outcomes. Motivates employees to achieve high performance by facilitating a positive workplace that fosters innovation and initiative, open and honest communication, and teamwork among employees and peers. Effectively manages employee performance, addresses conduct issues early as appropriate and recognizes high performance. Ensures that, to the extent possible, employees have the tools and training to do their jobs. Promotes cooperation, flexibility and teamwork among employees. Provides continuous, constructive feedback to employees concerning individual and group performance including timely evaluations of performance. Coaches and develops employees to realize their full potential as members of the Department.

- a. **President's Management Agenda** - Achieves the objectives established by the President, the Secretary, the Deputy Secretary, and senior management. Articulates the organization's vision, effectively communicates the Department's mission, core values and strategic goals to employees and other stakeholders and engages them in developing objectives and individual performance plans that contribute to those goals (i.e., President's Management Agenda, mission of the organization) with a focus on results. Supports the Department by providing responsive, timely and accurate work products and information as requested by Department management. Suggests innovative approaches to knowledge management that improves communication across organizational lines. Prioritizes professional and technical currency on relevant and timely issues impacting Commerce. Fosters a learning organization throughout Commerce that encourages cooperation and collaboration among offices and bureaus. Ensures that the strategic planning process is meaningful and relevant to the organization, including the completion of Government Performance and Results Act activities. Financial reporting and budget activities are on-track, accurate and timely.
- b. **Safety and Security** - Fosters a safe work environment for all employees with an on-going focus on safety and health issues. Ensures continuity of operations by providing timely and relevant input to the Continuity of Operations Plan (COOP) as requested. Ensures that relevant aspects of the COOP are operational and logistically feasible. Ensures that the COOP is timely communicated to key personnel. Educates employees on health and safety issues, including preventative measures that can be taken to ensure a healthy work environment. Monitors the outcomes of health indicators (e.g., sick leave usage, attitude survey results, turnover, accidental rates). Ensures that the work environment is safe and that any unsafe conditions are addressed in an expedient manner. Addresses environmental issues (e.g., work space, ergonomic furniture, asbestos, air filtering systems). Ensures that employees are aware of what to do in an emergency situation. Promotes health unit activities and gives employees the opportunity to participate freely.

Ensures that employees understand the role of the Employee Assistance Program and how to access it.

- c. **Diversity** - Effectively considers equal opportunity and diversity principles in all aspects of program and human resources decisions and in compliance with merit systems principles. Where given the opportunity, increases the employment of under represented groups of minorities and employees with disabilities. Participates in outreach activities such as creating partnerships with and recruiting from minority-serving institutions; “adopting” schools and mentoring students; participating in “internship” programs; and employing “co-op” students. Strives to resolve employee grievances and allegations of discrimination at the lowest organizational level. Cooperates fully in the investigation and fact-finding processes of investigations.

Outstanding
Commendable
Fully Successful
Minimally Acceptable
Unsatisfactory

CRITICAL ELEMENT 2: Customer/Client Service Responsiveness (20%)

Ensures a high degree of responsiveness to organizational leadership, the public, and internal and external customers (i.e., external contacts, staff, bureaus, Department, customer agencies, taxpayers). Continually reviews and monitors organizational performance. Consults, collaborates and builds partnerships with agencies and other stakeholders, and takes decisive action, in accordance with law, regulation, and Department policy. Continuously seeks to improve business processes, sharing those efforts with other units to better overall Department performance.

Demonstrates the importance of customer and employee satisfaction in successfully accomplishing the Department's mission. Demonstrates the importance of customer focus as a critical component of the Department's mission. Listens to customers, systematically gathering their feedback, actively seeking to identify their needs and expectations, and effectively communicating those needs and expectations to employees. Ensures that employees do the same, and they are prompt, professional, fair and responsible to the circumstances of individual customers, to the extent permitted by law and regulation. Continuously evaluates organizational performance from a customer's point of view.

Outstanding
Commendable
Fully Successful
Minimally Acceptable
Unsatisfactory

B. Bureau Specific Critical Elements (up to three maximum)

In the space below, the incumbent and his or her immediate supervisor should describe a limited number of critical elements along with critical element activities that the incumbent will be expected to accomplish during the upcoming evaluation year. These bureau elements should be derived from, and directly contribute to, the program priorities and objectives established by the organization's annual business or operating plan; they should also be balanced, based on the Department-wide responsibilities described earlier, and may include personal developmental objectives relating to those responsibilities. Generally, bureau elements should be qualitative in nature, but they can (and should) be guided and informed by the organization's quantitative performance measures. Bureau elements may be modified during the evaluation period as circumstances warrant. Changes should be made at least 90 days before the end of the evaluation period to prevent having to extend the evaluation period.

BUREAU SPECIFIC CRITICAL ELEMENT I: Support of Corporate NOAA (40%)

Supports the NOAA Program Review process including follow up activities. Supports the development of a revised NOAA Strategic Plan. Promulgates and supports NOAA's and the Department of Commerce's corporate identity at every opportunity and ensure effective communication with outside groups (e.g., user groups, NGO's), state and local government, the Congress, and international bodies etc. Promotes and requires teamwork with other NOAA line and staff offices and components. Analyzes the organization and own area to identify key relationships that should be initiated or improved to further the attainment of own area's goals. Monitors and evaluates partnerships for the attainment of mutual goals.

Develops and implements programs with educational institutions, to enhance outreach and education in NOAA-related areas. Supports the Survey Feedback Action (SFA) organizational assessment by addressing issues identified by the SFA with the goal to improve workforce environment and overall organizational performance. Completes all actions necessary to eliminate material weaknesses and support achievement of an unqualified NOAA audit.

Improves the management of information technology by fully participating in the IT planning process, adhering to OMB, Department, and NOAA policies on IT management and security, and implementing IT "best-practices". Supports NOAA-wide financial management goals and the Planning, Programming and Budget Systems (PPBS) process, including budget execution, operating within FTE employment ceilings, implementation of CAMS, etc. Supports the leadership and direction of NOAA Matrix Program Managers and supports the effective management and delivery of matrix programs. Adheres to NOAA policies concerning Congressional, DOC, OMB, EOP and other communications outside NOAA.

Meets all grant and procurement requirements/schedules and pursues every reasonable opportunity to utilize small and disadvantaged businesses when considering procurement alternatives. Creates a supportive work environment which ensures reasonable workforce accommodation and access to information, services, facilities and programs for all employees, applicants for employment, and the general public. At a minimum, sets aside 1.5% of personnel and compensation (i.e., salaries and benefits) to support employee career development and training opportunities. Works to strengthen ties with Minority Serving Institutions (or MSI's).

Corporate NOAA - Evaluation Criteria

To better assist rating officials, please refer to the guidance below which list examples of activities which are relevant to this Element.

Incumbent performs activities beyond those prescribed by position and/or uses methods/practices that promote corporate NOAA in the management of programs, projects, activities and/or organizations. Examples include:

- Substantively contributes in the development, execution and implementation of the NOAA Strategic Plan
- Leads efforts for planning and implementing new NOAA business processes (e.g., PPBS; grants streamlining; NOAA-wide facilities efforts, etc .)
- Takes initiative and participates in on-going NOAA corporate activities (e.g., NOAA Councils, Committees, task forces, work groups, etc. working on NOAA-wide issues)
- Monitors action items identified by subordinate managers via the SFA process and ensures that improvements are made in a timely manner

Outstanding
Commendable
Fully Successful
Minimally Acceptable
Unsatisfactory

Continued:

BUREAU SPECIFIC CRITICAL ELEMENT I: Support of Corporate NOAA (40%)

BUREAU SPECIFIC CRITICAL ELEMENT 2: Executive Development & Communication (10%)

Participates in NOAA/Commerce Executive Development Training Programs, seminars, or continuing education. Participates in professional organizations, conferences, etc.

Clearly conveys and receives information and ideas through a variety of media to individuals or groups in a manner that engages the audience, helps them understand and retain the message, and permits response and feedback from the audience. Organizes and presents ideas effectively for formal and spontaneous presentations. Prepares concise and logical written materials. Keeps affected parties informed on issues.

Outstanding
Commendable
Fully Successful
Minimally Acceptable
Unsatisfactory

PART II: Progress Review

This mandatory review generally takes place during the middle of the evaluation year. The rating official and the incumbent are required to discuss the incumbent's progress toward expectations set forth in Part I. That discussion should be summarized below:

Date review conducted: _____

Rating official's signature: _____

Employee's signature: _____

Part III: Performance Summary and Rating

Name: _____

Instructions:

List each critical element in the performance plan and the weight it has been assigned.

Assign a rating level for each element: (5) Outstanding; (4) Commendable; (3) Fully Successful; (2) Minimally Acceptable and (1) Unsatisfactory. Raters may also give fractional ratings.

Score each element by multiplying the weight by the rating level.

After each element has been scored, compute total score by summing all individual scores. Total score can range from 100 to 500.

| Performance Summary and Rating Methodology | | | |
|---|----------------------------------|-------------------------|-------|
| Critical Element | Individual Weights (Sum=100%) | Element Rating (1-5) | Score |
| Leadership/Management | 30 | | |
| Customer/Client Service Responsiveness | 20 | | |
| Support of Corporate NOAA | 40 | | |
| Executive Development & Communication | 10 | | |
| Total | | | |

| ITEM 3. SES EMPLOYEES ONLY: | | | | | |
|--|--|----------------------------|-------------------------------|-----------------------|---------------------------|
| Name | | | Title | | |
| 1. Rating Official Recommendation(s). Check appropriate block(s). | | | | | |
| Outstanding (460 - 500) | | Commendable (380 - 459) | Fully Successful (290-379) | Marginal (200-289) | Unacceptable (100-199) |
| Rating Official's Signature | | | Title | | Date |
| Employee's Signature (<i>indicates appraisal meeting held</i>) | | | | | Date |
| 2. Optional Higher Level Review (<i>at employee's request</i>) Comments: Recommendation on initial rating: | | | | | |
| Higher Level Reviewer Signature | | | Title | | Date |
| 3. PRB Review PRB concurs with initial rating YES NO (Explain Below) | | | | | |
| PRB Chairperson and/or Co-Chairperson's Signature | | | | | Date |
| 4. Appointing Authority Agree Disagree with PRB recommendations. If disagree, explain. Final Rating of Senior Executive: Outstanding Commendable Fully Successful Marginal Unacceptable | | | | | |
| Appointing Authority's Signature | | | | | Date |